



UK01-012

2874

#4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Douglas Graeme

Examiner: FEB 21 2002

Serial No: 10/007,826

Group Art Unit: 2874  
TECHNOLOGY CENTER 2800

Filed: November 9, 2001

For: ALIGNMENT OF ACTIVE OPTICAL  
COMPONENTS WITH WAVEGUIDES#4  
31 May 02  
A. Talley**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §§ 1.56, 1.97 - 1.98**Asst. Commissioner of Patents and Trademarks  
Washington, DC 20231

Dear Sir:

The Examiner's attention is hereby directed to the following reference(s) listed on the attached Form PTO-1449 for consideration in connection with the examination of the above-identified patent application. One copy of the reference(s) is enclosed.

This submission does not represent that a search has been made or that no better art exists and does not constitute an admission that each or all of the enclosed documents constitute "prior art." If it should be determined that any of the submitted documents do not constitute "prior art" under United States law, applicant(s) reserve the right to present to the office the relevant facts and law regarding the appropriate status of such documents.

Applicant(s) further reserve the right to take appropriate action to establish the patentability of the disclosed invention over the enclosed references, should one or more of the references be applied against the claims of the present application.

Respectfully submitted,

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Date: FEBRUARY 8, 2002

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Asst. Commissioner of Patents and Trademarks, Washington, D.C. 20231 on <u>FEBRUARY 8, 2002</u>	
Date of Deposit	<u>RONALD J. PAGLIERANI</u>
Name of applicant, assignee, or Registered Representative	<u>Ronald J. Paglierani</u>
Signature	<u>FEB. 8, 2002</u>
Date of Signature	

FORM PTO-1449 (MODIFIED)	ATTORNEY DOCKET NO. UK01- <b>RECEIVED</b>	SERIAL NO. 10/007,826
LIST OF PATENTS AND PUBLICATIONS FOR APPLICANTS INFORMATION DISCLOSURE STATEMENT	APPLICANT Douglas Gracie <b>FEB 21 2002</b>	
	FILING DATE November 9, 2001 <b>TECHNOLOGY CENTER 2800</b>	GROUP: 2874

REFERENCE DESIGNATION		U.S. PATENT DOCUMENTS					
Examiner Initial		Document Number	Date	Name	Class	Sub-Class	Filing Date if Approp.
	AA	6,164,836	12/00	Yamada et al			
	AB	4,725,114	02/88	Murphy			
	AC	5,299,276	03/94	Okamura et al			
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

FOREIGN PATENT DOCUMENTS							
		Document Number	Date	Country	Class	Sub-Class	Translation Yes No
	AL	GB 2 332 956	07/99	UK			
	AM	EP 0 682 276	11/95	Europe			
	AN	EP 0 864 893	9/98	Europe			
	AO	GB 2 286 693	8/95	UK			
	AP						
	AQ						

OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.)		
AR	Hunziker et al, "Self-aligned flip-chip packaging of tilted semiconductor optical amplifier arrays on Si motherboard" Electronics Letters, 16 <sup>th</sup> March 1995, vol. 31, no. 6	
AS	Murphy "Fiber Attachment for Guided Wave Devices" Journal of Lightwave Technology, vol. 6, no. 6, June 1988	
	AT	
	AU	
	AV	
	AW	

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609: draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.